



U.S. Department of Transportation  
Federal Transit Administration



# Office of Safety and Security Five-Year Strategic Plan

FY2008 to FY2012



October 2007



## LETTER TO THE READER

Dear Colleague:

I am pleased to present the Federal Transit Administration (FTA) Office of Safety and Security Five-Year Strategic Plan, FY2008–FY2012. This plan contains four long-term strategies for implementing all-hazards integrated management and for achieving its goals over the five-year planning horizon:

- Identify opportunities for enhancing coordination and communication with FTA Regional Offices, Department of Transportation (DOT) modal administrations, Department of Homeland Security (DHS), state/local agencies, transit providers, and other industry partners.
- Provide training, education, and outreach to enhance core competencies for safety, security, and emergency preparedness in the transit industry. Assess and support integrated core competency training by job type or category.
- Provide guidance, resources, and technical assistance to promote continuous improvement in safety, security, and emergency preparedness among transit agencies. Assess and target resources and assistance toward the most frequent types of accidents and security incidents and the most catastrophic risks to passengers, employees, and transit property.
- Develop and implement continuous improvement and innovation goals for the Office's management of existing and future programs and projects through data collection and analysis, performance measures and metrics, and coordinated program reviews.

This Strategic Plan continues FTA's new customer service approach and is the first of two documents in the Office's five-year strategic and program planning process. Subsequently, the Office will develop a Multi-Year Program Plan. The Program Plan will provide a five-year path to moving the Office from its current structure and operation toward the vision of the Strategic Plan. It will also be used to support FTA's Annual Performance Plan, which communicates to FTA staff and external stakeholders what FTA will accomplish in the next fiscal year, and to guide the development of the Office's annual Action Plan, which identifies the activities that the Office will complete during FY08.

As part of the strategic planning process, the Office reached out to many of our stakeholders for information and recommendations. We are grateful for your continued support in helping us to achieve our goals and mission.

Sincerely,



Michael Taborn  
Director, Office of Safety and Security  
Federal Transit Administration  
U.S. Department of Transportation

## TABLE OF CONTENTS

LETTER TO THE READER .....	1
1.0 INTRODUCTION.....	3
2.0 BACKGROUND .....	4
3.0 GOALS.....	6
4.0 PROCESS.....	7
5.0 VISION.....	8
6.0 STRATEGIES AND IMPLEMENTATION.....	11
ACRONYMS AND ABBREVIATIONS.....	13
APPENDIX A: FTA OFFICE OF SAFETY AND SECURITY ORGANIZATION .....	A-1
APPENDIX B: ORGANIZATIONS AND PEOPLE INTERVIEWED.....	B-1

# 1.0 INTRODUCTION

The Federal Transit Administration (FTA) Office of Safety and Security developed this *Five-Year Strategic Plan (FY2008 to FY2012)* (Strategic Plan) to ensure that safety, security, and emergency management at the FTA are guided by a clear vision, goals, and strategies, and that the Office itself matures to achieve its vision.

The Strategic Plan promotes a comprehensive, all-hazards management approach to safety, security, and emergency management and a balanced approach to the Office’s programs and activities. It encompasses a five-year vision for the maturity of the Office toward achieving its goals.

The Strategic Plan will be implemented through a Five-Year Program Plan (Program Plan) that, on an annual basis, evaluates programs, projects, activities, and products for their effectiveness and benefit to the transit industry and aligns future endeavors based on Office and industry needs.

Figure 1 shows the relationship among FTA agencywide and office planning documents. The Office of Program Management reviews and oversees Office of Safety and Security plans to ensure alignment with the FTA Strategic Plan and annual performance plans. To maintain continuity and consistency, the Office of Safety and Security will review and update its Strategic Plan on an as-needed basis during the next five years. The Program Plan will be updated annually to reflect progress and current conditions.

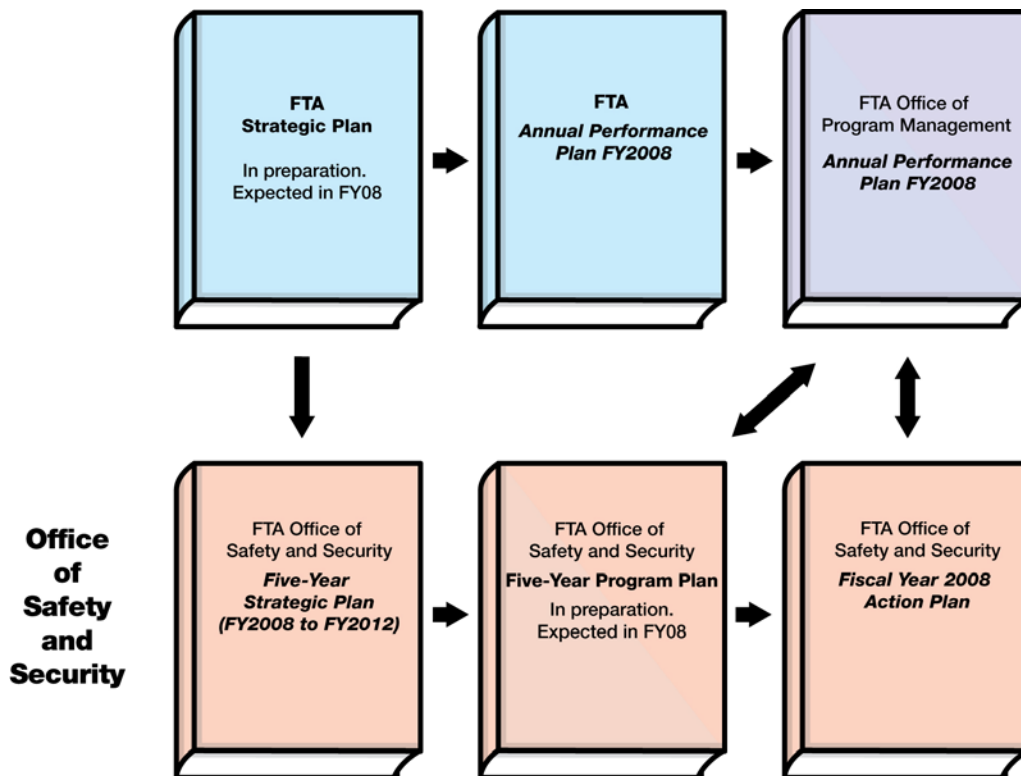


Figure 1. Strategic Planning Document Relationships

## 2.0 BACKGROUND

FTA is one of 10 modal administrations within the U.S. Department of Transportation (DOT). FTA administers Federal funding to support a variety of locally planned, constructed, and operated public transportation systems throughout the United States, including buses, subways, light and commuter rail, and other transit modes. It functions through a Washington, DC headquarters office and 10 regional offices to provide direct assistance to transit agencies in all 50 states, the District of Columbia, U.S. territories, and tribal nations.

The Office of Safety and Security resides within the Office of Program Management along with the Offices of Engineering, Oversight, and Transit Programs. Within the Office of Safety and Security, programs and activities are managed in three functional areas: safety, security, and emergency management. The Office recognizes the importance of training by integrating it into all three of these areas. Appendix A contains the current organization of the Office of Safety and Security.

### **Mission**

The mission of the FTA Office of Safety and Security is to provide leadership and vision in the development and management of programs and initiatives to continually improve the safety and security of passengers, employees, emergency responders, and all others who come into contact with the public transportation system.

The Office of Safety and Security accomplishes its mission through:

- Developing policies, requirements, and guidelines for transit oversight as authorized by Federal statute
- Implementing two congressionally mandated regulatory programs, Substance Abuse Management and State Safety Oversight of Rail Fixed Guideway Systems
- Developing and overseeing the implementation of strategic long-term FTA safety, security, and emergency management programs
- Managing national safety, security, and emergency management training programs
- Coordinating safety, security, and emergency management plans, programs, and activities within FTA and DOT and with other Federal partners and the transit industry
- Formulating, overseeing, and managing technical assistance and demonstration programs.

## Programs

The Office currently provides oversight, technical assistance, training, and educational programs in nine major areas, listed below. During the strategic planning process, these programs and activities were analyzed and remapped into an all-hazards management approach, discussed later in the Vision section.

- **Modal Safety**
  - State Safety Oversight Program (Rail Fixed Guideway Systems)
  - Transit Bus Safety and Security Program
  - Commuter Rail Safety Program
  - Rail Safety Action Program
- **Security**
  - Department of Homeland Security Liaison Activities
  - Technical Assistance Program
  - Transit Watch
  - Transit Roundtables
  - American Public Transportation Association (APTA) Security Standards
- **Drug and Alcohol Abuse**
- **Data Collection and Analysis**
- **Training and Education**
- **Information Sharing**
- **Emergency Management**
  - Continuity of Operations Planning
  - Pandemic Flu Planning
  - Crisis Management Center
  - APTA Emergency Response Preparedness Program
  - Connecting Communities
- **Fire/Life Safety**
- **Others**
  - Safety Outreach through Operation Lifesaver
  - Transit Fatigue Management
  - Special Investigations
  - Office of the Secretary Liaison

## 3.0 GOALS

The current DOT Strategic Plan<sup>1</sup> includes six strategic and organizational goals. As part of its *Annual Performance Plan FY 2008 (APP)*,<sup>2</sup> FTA translated these DOT goals into FTA performance goals so that each DOT goal was reflected in at least one FTA goal, as shown below:

### FTA Goal

- 1 Increased Ridership (DOT Goals 2 and 3)
- 2 Transit and Sustainability (DOT Goal 4)
- 3 Implement Integrated Safety, Security, and Emergency Preparedness Strategies (DOT Goals 1 and 5)
- 4 Enhance FTA's Customer Focus (DOT Goal 6)
- 5 SAFETEA-LU Implementation and Reauthorization (DOT Goal 6)
- 6 Knowledge Management (DOT Goal 6)
- 7 Integrated Decision-making (DOT Goal 6)
- 8 Human Capital (DOT Goal 6)
- 9 Individual Office Goals (DOT Goal 6)

The Office of Safety and Security is responsible for FTA Goal 3, Implement Integrated Safety, Security and Emergency Preparedness Strategies. To be responsive to this goal, the Office developed three internal goals that are presented in the Office's *Fiscal Year 2008 Action Plan*:

### Office Goal

- 1 Implement integrated safety, security, and emergency preparedness strategies
- 2 Reduce severity of incidents and risks to passengers and employees
- 3 Increase effectiveness in the delivery of Office of Safety and Security strategies and program activities

Strategies to support these Office goals were developed as part of the strategic planning process. They are discussed later in the Strategies and Implementation section.

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<sup>1</sup> *Department of Transportation Strategic Plan, FY 2006–2011*, September 2006.

<sup>2</sup> *FTA, Annual Performance Plan, FY 2008*.



## 4.0 PROCESS

In FY07, the Office of Safety and Security assembled a team to develop and execute a strategic and program planning process. Early in FY07 the team defined the process shown in Figure 2 for developing this Strategic Plan and its implementing Program Plan.

The Office began the Strategic Plan and the Program Plan simultaneously with outreach, data collection, and analysis. Appendix B lists the organizations and people initially interviewed as part of this process. The Strategic Plan resulted from visioning that led to the development of strategies to achieve the Office goals. These strategies will be implemented through the Program Plan.

The program planning process consists of assessing existing transit industry safety, security, and emergency management programs; determining current industry needs; and refining and restructuring programs and processes to more effectively integrate programs and products. The initial Office Program Plan will be completed during the first half of FY08.

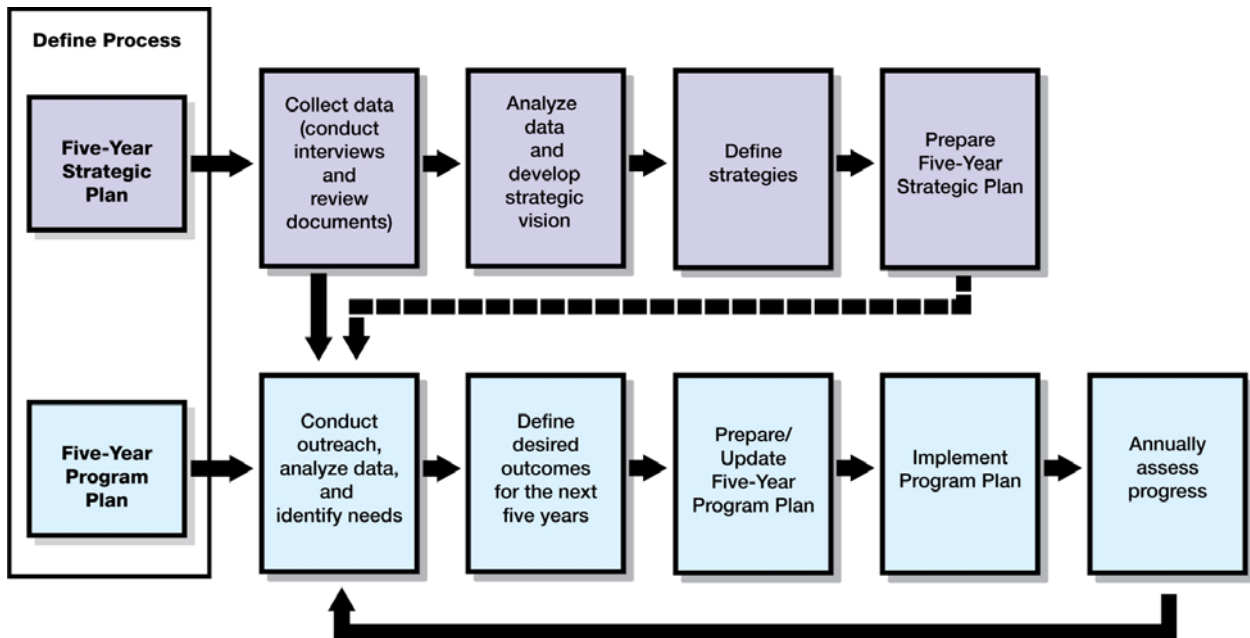


Figure 2. Strategic and Program Planning Process

## 5.0 VISION

All Office of Safety and Security programs, projects, and activities are related to one another: they have a common purpose in protecting transit passengers, employees, and property as well as the general public. The vision of the Office of Safety and Security is to move beyond interrelationships and to define and implement an all-hazards integrated management approach for the programs, projects, and activities that it manages or in which it participates. The Office also will use a maturity model to measure progress toward all-hazards management.

### An All-Hazards Integrated Management Approach

The “all-hazards” concept is used in all aspects of crisis management, including prevention, protection, response, and recovery. Homeland Security Presidential Directive (HSPD) 8 (December 17, 2003) used the term all-hazards for preparedness for terrorist attacks, major disasters, and other emergencies. Initially, the all-hazards concept focused only on emergency response.

With this Strategic Plan, FTA is more broadly defining all-hazards by fully integrating safety, security, and emergency management into its programs and activities. The Office of Safety and Security is promoting this all-hazards management approach. The all-hazards portion of Figure 3 shows where programs, projects, and activities are not just related but integrated. Integration means regular communication and coordination of common concerns, strategies, and effective practices for all safety, security, and emergency management activities to ensure that improvements in one area do not duplicate or diminish functionalities in another area.



**Figure 3. All-Hazards Integrated Management Approach**

For the programs, projects, and activities that are in the all-hazards area, program staff will coordinate and communicate activities and products across the functional areas in order to gain synergy and consistency. This management approach supports continuity and integration among functional area programs, projects, and activities.

Multiple benefits arise from an all-hazards integrated management approach:

- The three areas, safety, security, and emergency management, retain their unique functionalities.
- Current safety, security, and emergency management practices and successes endure.
- Critical risk information is shared among the three functional areas to show all risks simultaneously.
- Coordination among the three areas promotes synergy, efficiency, and cost-effectiveness.
- Resiliency in response to safety, security, and other emergency events increases.

At the same time, some aspects of safety, security, and emergency management are independent and do not require integration. Integration of these programs would diminish their purpose and possibly have a negative impact. Office of Safety and Security programs, projects, and activities that do not require all-hazards integration will be organized by the separate categories of safety, security, and emergency management.

Table 1 presents a mapping of the existing Office programs, projects, and activities (discussed earlier) into the vision of an all-hazards management approach.

<b>Table 1. Vision for Safety, Security, and EM Programs, Projects, and Activities</b>	
<p><b>All-Hazards</b></p> <ul style="list-style-type: none"> <li>▶ Data Collection and Analysis</li> <li>▶ Research and Technology Development</li> <li>▶ Transit Bus Safety and Security Program</li> <li>▶ State Safety Oversight</li> <li>▶ Standards Development</li> <li>▶ Training</li> <li>▶ Communications and Public Outreach</li> <li>▶ Facilities and Vehicle Design</li> <li>▶ Commuter Rail</li> <li>▶ Passenger Ferry</li> <li>▶ Strategic Planning</li> <li>▶ Administrative Activities</li> </ul>	<p><b>Safety</b></p> <ul style="list-style-type: none"> <li>▶ Drug and Alcohol</li> <li>▶ Fatigue Management</li> <li>▶ Modal Safety</li> </ul> <p><b>Security</b></p> <ul style="list-style-type: none"> <li>▶ DHS Counterterrorism Security Liaison Activities</li> <li>▶ Crime Prevention and Management</li> <li>▶ Information Sharing</li> </ul> <p><b>Emergency Management</b></p> <ul style="list-style-type: none"> <li>▶ Pandemic Planning</li> <li>▶ APTA Emergency Response Program</li> <li>▶ FTA Coordination of Emergency Operations Planning</li> </ul>

## Maturity Model

Maturity models are used by organizations to objectively characterize and evaluate progress made in transforming their processes through levels of effectiveness. The aim of the Office of Safety and Security in introducing a maturity model into its strategic planning is to be able to measure its progress in achieving an all-hazards management approach to current and future programs, projects, and activities. The model will also help the Office to set goals for future continuous improvement.

Table 2 shows a four-level maturity model for the Office of Safety and Security to achieve an all-hazards management approach. The levels build on one another, from Level 1 (lowest) to Level 4 (highest). Each maturity level defines an important part of the organization's improvement. When the milestone for a given level is achieved, the maturity of the process and the organization moves to the next level.

Table 2. All-Hazards Maturity Model for the Office of Safety and Security	
Level	Description of Levels and Milestones
4	<p>The all-hazards management approach to safety, security, and emergency management is fully implemented within the Office of Safety and Security. Continuous improvement is institutionalized. The all-hazards concept at this stage is embodied and supported by management and staff.</p> <p><b>Milestone:</b> Program manager coordination and communication are institutionalized within the Office, FTA, the transit industry, and other stakeholders for continuous improvement.</p>
3	<p>Safety, security, and emergency management programs within the Office of Safety and Security have a strategic direction that is centrally and holistically managed. Performance measures are developed and implemented, and programs and projects are analyzed for their effectiveness. Resources are allocated based on past performance and future needs.</p> <p><b>Milestone:</b> Program managers select and implement current and new programs that reflect a coordinated and integrated management approach to safety, security and emergency management.</p>
2	<p>The Office of Safety and Security solicits information from the transit industry about their needs, and develops and prioritizes programs and products around these needs. Communication among program managers of safety, security, and emergency management programs avoids or minimizes duplication of effort.</p> <p><b>Milestone:</b> Program managers actively coordinate and communicate activities to achieve synergies and reduce duplication and conflict among existing programs.</p>
1	<p>Safety, security, and emergency management activities are typically performed independently with little or no management integration or coordination within or outside of FTA.</p> <p><b>Milestone:</b> Program managers recognize the interrelatedness of programs and the need for better coordination and communication.</p>

## 6.0 STRATEGIES AND IMPLEMENTATION

### Strategies

The Office of Safety and Security developed the following long-term strategies for implementing all-hazards integrated management and for achieving its goals over the five-year planning horizon:

**Goal 1.** Implement integrated safety, security, and emergency preparedness strategies.

**Strategy 1.** Identify opportunities for enhancing coordination and communication with FTA Regional Offices, DOT modal administrations, DHS, state/local agencies, transit providers, and other industry partners.

**Strategy 2.** Provide training, education, and outreach to enhance core competencies for safety, security, and emergency preparedness in the transit industry. Assess and support integrated core competency training by job type or category.

**Goal 2.** Reduce severity of incidents and risks to passengers and employees.

**Strategy 3.** Provide guidance, oversight, resources, and technical assistance to promote continuous improvement in safety, security, and emergency preparedness among transit agencies. Assess and target resources and assistance toward the most frequent types of accidents and security incidents and the most catastrophic risks to passengers, employees, and transit property.

**Goal 3.** Increase effectiveness in the delivery of Office of Safety and Security strategies and program activities.

**Strategy 4.** Develop and implement continuous improvement and innovation goals for the Office's management of existing and future programs and projects through data collection and analysis, performance measures and metrics, and coordinated program reviews.

### Implementation

The Strategic Plan will be implemented primarily through the Program Plan. Two additional annual plans important to implementing the Strategic Plan are the FTA's Annual Performance Plan (APP) and the Office of Safety and Security's annual Action Plan.

#### **Office of Safety and Security Five-Year Program Plan**

The Program Plan provides descriptive summaries of the programs, projects, and activities within the Office of Safety and Security as well as a vision of how those activities should evolve over the five-year planning horizon. The Program Plan will follow the vision of the Strategic

Plan as potential future programs, projects, and activities are considered. This planning will also link the programs, projects, and activities to the goals and strategies for the Office.

During the development of the Strategic Plan, three activities emerged that will require attention in FY08 and will become part of FY08 program planning. The first is an opportunity for better coordination between the FTA Office of Safety and Security's strategic planning and the strategic planning of the FTA Office of Research, Demonstration, and Innovation (TRI). The Office of Safety and Security and TRI have agreed to directly link their strategic planning and research project development processes and activities. The Office's strategic planning will now include joint development of potential research projects that will be integrated into TRI's strategic planning.

The second activity for FY08 is coordination with the Transportation Security Administration (TSA) in implementing the newly signed legislation Implementing Recommendations of the 9/11 Commission Act of 2007 (HR1). This new legislation has far-reaching implications for the Office's programs, projects, and activities. Coordination and implementation under HR1 has high priority in FY08 and is expected to require significant Office resources.

The third activity includes a review of the current State Safety Oversight Program. The National Transportation Safety Board (NTSB) investigated and made recommendations to the Chicago Transit Authority (CTA) in response to an accident that occurred in July 2006. Additional recommendations from NTSB focused on the FTA State Safety Oversight Program and included the State Oversight Agency from the State of Illinois and CTA.

### **FTA Annual Performance Plan**

The APP for FY08 includes a comprehensive set of nine goals. Each goal is linked to the DOT Strategic Plan, assigned to a team of FTA executives and senior managers, and presented as a rationale and list of specific FY08 deliverables.

FTA Goal 3 relates to implementing integrated safety, security, and emergency preparedness strategies. One of the deliverables is a five-year all-hazards strategic plan. FTA Goal 9 relates to individual office goals and deliverables. This goal drives the development of goals for the Office of Program Management, which in turn drives the goals for the Office of Safety and Security.

### **Office of Safety and Security Annual Action Plan**

Beginning in FY07, the Office of Safety and Security created an annual plan. (The FY07 edition was titled the Master Plan. For FY08, the plan was renamed the *Fiscal Year 2008 Action Plan*.) This annual plan includes the performance measures and milestones that the Office must achieve to meet the APP and the Office of Program Management goals for the current fiscal year.

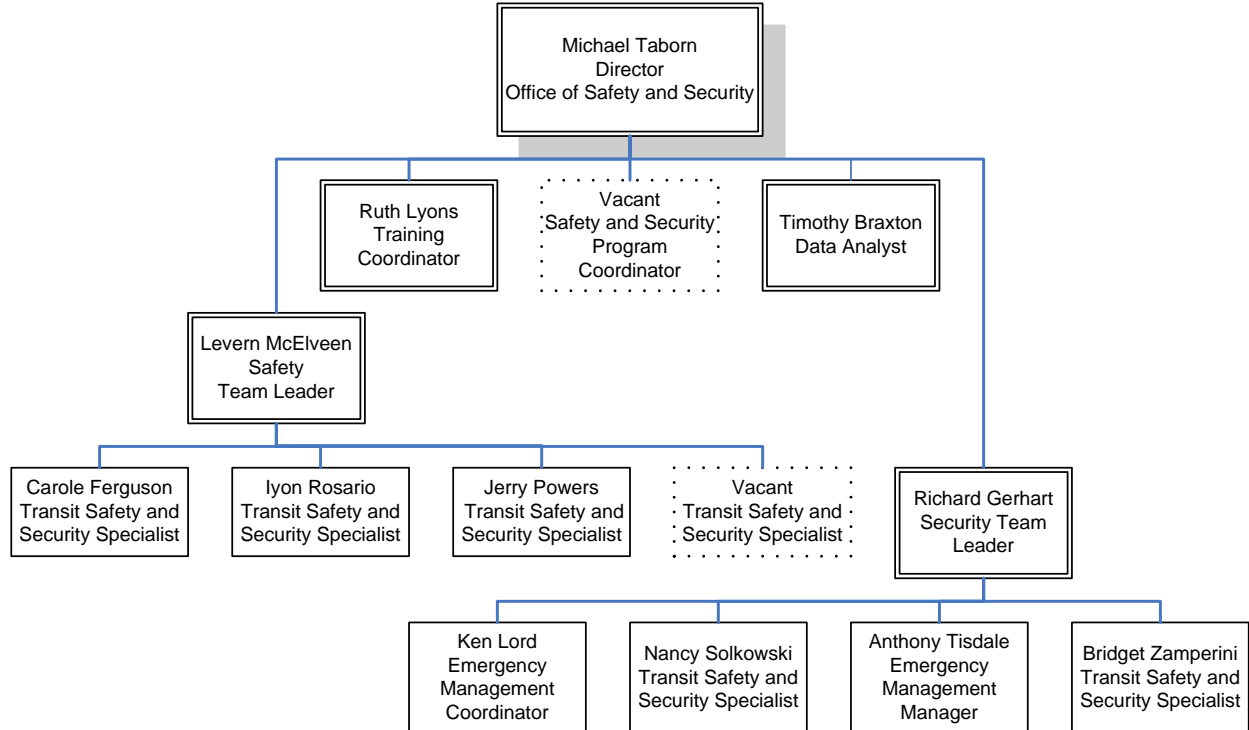
The Strategic Plan for the Office of Safety and Security includes a five-year planning horizon, FY08 through FY12. The Strategic Plan will be updated only on an as-needed basis to reflect major redirections from current thinking. The Program Plan will be updated annually to document progress and define future activities. As the strategic and program planning process matures, it will drive the development of the Office's annual Action Plan and the safety, security, and emergency management goals and deliverables in the FTA APP.

## Acronyms and Abbreviations

APP	Annual Performance Plan
APTA	American Public Transportation Association
CTA	Chicago Transit Authority
DHS	Department of Homeland Security
DOT	Department of Transportation
FTA	Federal Transit Administration
FY	fiscal year
HR1	House Resolution 1, Implementing Recommendations of the 9/11 Commission Act of 2007
HSPD	Homeland Security Presidential Directive
NTSB	National Transportation Safety Board
SAFETEA-LU	Safe, Accountable, Flexible, and Efficient Transportation Equity Act—A Legacy for Users
TSA	Transportation Security Administration

## Appendix A: FTA Office of Safety and Security Organization

The Office of Safety and Security is within the FTA Office of Program Management and is under the executive leadership of its Associate Administrator, who reports directly to the FTA Administrator.



Day-to-day activities of the Office are led by a Director who is supported by two team leaders, a training coordinator, and other specialists. The Office recognizes the importance of training by integrating it into all functional areas.



**Appendix B: Organizations and People Interviewed**

<b>Organization</b>	<b>Personnel</b>
<i>Federal Transit Administration (FTA)</i>	
Legal	L. Lasley
Regional Office 1	R. Doyle
Regional Office 2	J. Susino, T. Buffkin
Regional Office 3	M. McCollum, B. Glenn
Regional Office 4	C. White, J. Anoka
Regional Office 5	D. Davis, L. Joiner, D. Gatto
Regional Office 6	L. Wallace, G. Lyssy, S. Nassif
Regional Office 7	C. Terwilliger, W. Kalt, L. Daniels
Regional Office 8	D. Cover
Regional Office 9	L. Rogers, E. Carranza, J. Davis, N. Tahir
Regional Office 10	R. Krochalis, L. Gerhke, D. Leighow
Office of Project Management (TPM)	S. Schruth, T. Rosapep, B. Helfer
Office of Transit Programs (TPM-10)	M. Churchman
Office of Engineering (TPM-20)	A. James, C. Garay
Office of Safety and Security (TPM-30)	M. Taborn, R. Lyons, T. Braxton, L. McElveen, I. Rosario, J. Powers, R. Gerhart, N. Solkowski, B. Zamperini, T. Tisdale, G. Brown, K. Lord, A. Boyd (contractor), J. Caton (contractor)
Office of Oversight (TPM-40)	V. Valdes
Office of Research, Demonstration, and Innovation (TRI)	R. Hynes, M. Flanigon, I. Chambers
<i>Department of Transportation</i>	
Office of the Secretary of Transportation	E. Arthur, R. Brancato, D. O'Berry, V. Pearce
Federal Highway Administration (FHWA)	K. Vasconez, B. Morgan, D. Ferezan
Federal Motor Carrier Safety Administration (FMCSA)	B. Bass
Federal Railroad Administration (FRA)	B. Fagan, D. Knote, J. Mardente, E. Pritchard
<i>Department of Homeland Security (DHS)</i>	
Infrastructure Protection (IP)	T. Watson
Grants and Training (G&T)	K. Thomas
Transportation Security Administration (TSA)	J. Hanna-Ruiz, T. Farmer, R. Kraske, P. Roe, P. Lennon
<i>Other Stakeholders</i>	
Transportation Research Board (TRB)	S. Parker
American Association of State Highway and Transportation Officials (AASHTO)	R. Beyerle
American Public Transportation Association (APTA)	T. Peacock, B. Grizard, L. Stuart, G. Hull
Amalgamated Transit Union (ATU)	K. Head
Community Transportation Association (CTAA)	C. Zeilinger
Johns Hopkins University (JHU)	P. McDonald
National Transit Institute (NTI)	C. Kozub
Transportation Safety Institute (TSI)	M. Nolan, S. Dallman